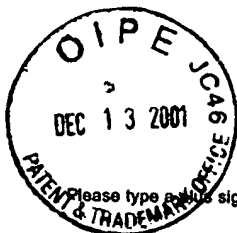


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<h1>TRANSMITTAL FORM</h1> <p>(to be used for all correspondence after initial filing)</p>	Application Number	To be determined
	Filing Date	October 23, 2001
	First Named Inventor	Melissa K. Carpenter
	Group Art Unit	To be determined
	Examiner Name	To be determined
Total Number of Pages in This Submission	Attorney Docket Number	091/009C

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO Form 1449; References (94)
Remarks		<p>RECEIVED</p> <p>DEC 13 2001</p> <p>GROUP 3600</p>

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	J. Michael Schiff, Registration No. 40,253
Signature	
Date	November 30, 2001

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12/3/01
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of: Carpenter, et al.

Serial No.: 10 039 956
To be determined

Filing Date: 23 October 2001

For: TECHNIQUES FOR GROWTH AND
DIFFERENTIATION OF HUMAN
PLURIPOTENT STEM CELLS

Art Unit: To be determined

Examiner: To be determined

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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The information listed in the accompanying form PTO-1449 and provided herewith may be material to examination of this application and is submitted in compliance with the duty of disclosure under 37 CFR § 1.56. The Examiner is requested to make this information of record in the application.

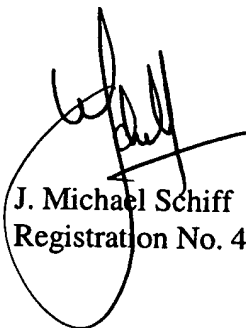
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PATENT
Serial No. TBD
Docket: 091/009C

This Information Disclosure Statement is not to be construed as a representation that a full search for relevant information has been made, that all relevant information has been found, or that the information provided with this Statement is considered to be material to patentability of the claimed invention as defined under 37 CFR § 1.56(b).

It is believed that no fee is required for submission of this Statement, which is filed before the first Office Action on the merits of the application. Nevertheless, should a fee be required for consideration of this Statement and the listed information, the Assistant Commissioner is authorized to charge such fee to Deposit Account No. 07-1139, referencing the attorney Docket Number indicated above.

Respectfully submitted,



J. Michael Schiff
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DATE: November 29, 2001

Form 1449 (modified)

Information Disclosure

Statement By Applicant

(Use Several Sheets if Necessary)

DEC 13 2001

Docket: 091/009C

U.S.S.N. To Be Assigned

Title: Techniques for Growth and Differentiation of Human Pluripotent Stem Cells

Inventors: Carpenter, M.K., et al.

Filing Date: 23 October 2001

Group: To Be Assigned

U.S. Patent Documents

Examiner Initial	Ref.	Patent No.	Filing Date	Issue Date	Class/ Subclass	Inventors:	Title:
	A	5,104,795	2/14/90	4/14/92	435/69.1	Lee, J-H., et al.	Shortened Phosphoglycerate Kinase Promoter
	B	5,166,065	3/31/90	11/24/92	435/240.1	Williams, R., et al.	In Vitro Propagation of Embryonic Stem Cells
	C	5,234,809	7/1/91	8/10/93	435/91	Boom, W., et al.	Process for isolating nucleic acid
	D	5,332,672	4/9/92	7/26/94	435/240.2	Conover, J., et al.	Prevention of ES Cell Differentiation by Ciliary Neurotrophic Factor
	E	5,405,772	6/18/93	4/11/95	435/240.31	Ponting, I.,	Medium For Long-Term Proliferation and Development of Cells
	F	5,453,357	10/8/92	9/26/95	435/7.21	Hogan, B.	Pluripotent embryonic stem cells and methods of making same
	G	5,523,226	5/14/93	6/4/96	435/240.2	Wheeler, M.	Transgenic Swine Compositions and Methods
	H	5,583,016	10/27/94	12/10/96	435/91.3	Villeponteau B, et al.	Mammalian Telomerase
	I	5,639,618	5/13/94	6/17/97	435/7.21	Gay, D.	Method of Isolating a Lineage Specific Stem Cell In Vitro
	J	5,643,761	10/27/93	7/1/97	435/91.1	Fisher, P., et al.	Method for Generating A Subtracted CDNA Library and Uses of the Generated Library
	K	5,672,499	6/7/95	9/30/97	435/240.4	Anderson, D., et al.	Immortalized Neural Crest Stem Cells and Methods of Making
	L	5,789,158	5/18/95	8/4/98	435/6	Knowles, B., et al.	Developmental Embryonic Mouse CDNA Libraries
	M	5,840,484	1/27/94	11/24/98	435/6	Seilhamer, J., et al.	Comparative Gene Transcript Analysis
	N	5,843,780	1/18/96	12/1/98	435/363	Thomson, J.	Primate embryonic stem cells
	O	5,856,136	7/3/96	1/5/99	435/69.3	Au-Young, J.	Human Stem Cell Antigens
	P	5,914,268	11/21/94	6/22/99	435/325	Keller, G., et al.	Embryonic Cell Populations and Methods to Isolate Such Populations
	Q	5,922,597	7/14/97	7/13/99	435/372.1	Verfaillie, C., et al.	Ex Vivo Culture of Stem Cells
	R	5,942,435	6/6/95	8/24/99	435/325	Wheeler, M.	Transgenic Swine Compositions and Methods
	S	5,968,829	9/5/97	10/19/99	435/467	Carpenter, M.	Human CNS Neural Stem Cells
	T	5,981,165	6/7/95	11/9/99	435/4	Weiss, S., et al.	In Vitro Induction of Dopaminergic Cells
	U	6,040,180	5/7/97	3/21/00	435/377	Johe, K.	In Vitro Generation of Differentiated Neurons From Cultures of Mammalian Multipotent CNS Stem Cells

Examiner	Date Considered

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Form 1449 (modified)	DEC 13 2001	Docket: 091/009C	U.S.S.N. To Be Assigned
Information Disclosure	Title: Techniques for Growth and Differentiation of Human Pluripotent Stem Cells		
Statement By Applicant	Inventors: Carpenter, M.K., et al.		
(Use Several Sheets if Necessary)	Filing Date: 23 October 2001	Group: To Be Assigned	RECEIVED

Examiner Initial	Ref.	Patent No.	Filing Date	Issue Date	Class/ Subclass	Inventors:	Title:
	V	6,261,556	Oct 18/99	Jul 17/01	424/94.5	Weinrich SL et al.	Purified Telomerase

Foreign Patent or Published Foreign Patent Application

Examiner Initial	Ref.	Document No.	Publ. Date	Jurisdiction	Title:	Translation	
						Yes	No
	W	WO 94/07997	4/14/94	PCT	Long-term Proliferation of Primordial Germ Cells		
	X	WO 96/17627	6/13/96	PCT	System for the Maintenance, Growth and Differentiation of Human and Non-Human Primate Pluripotent Stem, Progenitor and Mature Bone Marrow Cells		
	Y	WO 97/21802	6/19/97	PCT	Novel Embryonic Cell Populations and Methods to Isolate Such Populations		
	Z	WO 97/28253	8/7/97	PCT	Method for Culturing Cells Having Angiogenic Potential	Abstract	X
	AA	WO 97/30151	8/21/97	PCT	Cytokine Expressed by Dia/Lif-Deficient Embryonic Stem Cells for the Inhibition of Differentiation		
	AB	WO 97/47734	12/18/97	PCT	In Vitro Derivation and Culture of Primate Pluripotent Stem Cells and Therapeutic Uses Thereof		
	AC	WO 98/00540	1/8/98	PCT	Human Stem Cell Antigens, DNA Coding Therefor and Their Use		
	AD	WO 98/30679	7/16/98	PCT	Embryonic Stem Cell Serum Replacement		
	AE	WO 98/43679	10/8/98	PCT	Human Embryonic Germ Cell Line and Methods of Use		
	AF	WO 99/01552	1/14/99	PCT	Fluorescent Proteins as Cell-Type Specific Reporter	Abstract	X
	AG	WO 99/10535	3/4/99	PCT	A Process to Study Changes in Gene Expression in Stem Cells		
	AH	WO 99/20741	4/29/99	PCT	Methods and Materials for the Growth of Primate-Derived Primordial Stem Cells		
	AI	WO 99/42122	8/26/99	PCT	Method of Promoting Embryonic Stem Cell Proliferation		
	AJ	WO 99/43785	9/2/99	PCT	Derivation of Cells and Tissues from Embryonic Pre-Stem Cells for Transplantation Therapies		
	AK	EP 0695 351 B1	12/8/99	EP	Isolation, Selection and Propagation of Animal Transgenic Stem Cells		
	AL	FR 2744133	8/1/97	FR	Procedure for Culturing Cells with Morphogenic Potential for Inducing Morphogenesis of the Aforesaid Cells, Models in Vitro of Vascular Morphogenesis thus Obtained, and their Modification for Drug Screening Derwent Summary of WO 97/28253 and FR 2744133	Summary	X

Examiner	Date Considered

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Form 1449 (modified)

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Docket: 091/009C

U.S.S.N. To Be Assigned

Information Disclosure

Statement By Applicant

(Use Several Sheets if Necessary)

Title: Techniques for Growth and Differentiation of Human Pluripotent Stem Cells

Inventors: Carpenter, M.K., et al.

Filing Date: 23 October 2001

Group: To Be Assigned

Other Documents

Examiner Initial	Ref.	Author, Title, Date, Source
	AM	Amit, M., et al., "Clonally Derived Human Embryonic Stem Cell Lines Maintain Pluripotency and Proliferative Potential for Prolonged Periods of Culture," Dev. Biology, 227:000-000 (2000)
	AN	Andrews, P., "Retinoic Acid Induces Neuronal Differentiation of a Cloned Human Embryonal Carcinoma Cell Line in Vitro," Dev. Biol., 103:285 (1984)
	AO	Baribault, H., et al., "Embryonic Stem Cell Culture and Gene Targeting in Transgenic Mice," Mol. Biol. Med. 6:481 (1989)
	AP	Becton Dickinson, "Product Specification Sheet : Matrigel Basement Membrane Matrix, Phenol-Red Free"
	AQ	Berger, C., et al., "Self Renewal of Embryonic Stem Cells in the Absence of Feeder Cells and Exogenous Leukaemia Inhibitory Factor," Growth Factors, 14:145 (1997)
	AR	Bodnar, A., et al., "Extension of Life-Span by Introduction of Telomerase into Normal Human Cells," Science, 279:349 (1998)
	AS	Bongso, A., et al., "Improved Quality of Human Embryos When Co-Cultured with Human Ampullary Cells," Hum. Reprod., 4:706 (1989)
	AT	Bradley, A., et al., "Modifying the Mouse: Design and Desire," Biotechnology, 10:534 (1992)
	AU	Brook, F., et al., "The Origin and Efficient Derivation of Embryonic Stem Cells in the Mouse," Proc. Natl. Acad. Sci., 94:5709 (1997)
	AV	Carnegie, J., "Immunolocalization of Fibronectin and Laminin Within Rat Blastocysts Cultured Under Serum-Free Conditions," J. Reprod. Fert., 91:423 (1991)
	AW	Carninci, P., et al., "High-Efficiency Full-Length cDNA Cloning," Methods Enzymol., 303:19 (1999)
	AX	Clontech Laboratories, SMART cDNA Library Construction Kit, Catalog #K1051-1
	AY	Corrick, C., et al., "Construction of a Mouse Blastocyst cDNA Library by PCR Amplification From Total RNA," Molecular Reproduction and Development, 43:7 (1996)
	AZ	Deleersnijder, W., et al., "Isolation of markers for chondro-osteogenic differentiation using cDNA library subtraction. Molecular cloning and characterization of a gene belonging to a novel multigene family of integral membrane proteins", J Biol Chem, 271:19475 (1996)
	BA	Eisen, M., "Cluster Analysis and Display of Genome-wide Expression Patterns," Proc. Natl. Acad. Sci., 95:14868 (1998)
	BB	Elges, R., et al., "Establishment of Human Embryonic Stem Cell-Transfected Clones Carrying a Marker for Undifferentiated Cells," Curr Biol, 11:514 (2001)
	BC	Evans, M., et al., "Establishment in Culture of Pluripotential Cell from Mouse Embryos," Nature, 292:154 (1981)
	BD	Fenderson, B., et al., "Carbohydrate Antigens of Embryonal Carcinoma Cells: Changes Upon Differentiation," APMIS Suppl. 27, 100:109 (1992)
	BE	Finley, M., et al., "Synapse Formation and Establishment of Neuronal Polarity by P19 Embryonic Carcinoma Cells and Embryonic Stem Cells," J. Neuroscience, 16:1056 (1996)
	BF	Gardner, D., et al., "Culture and Transfer of Human Blastocysts Increases Implantation Rates and Reduces the Need for Multiple Embryo Transfers," Fertil. Steril, 69:84 (1998)
	BG	Gendall, A., et al., "Isolation and Characterization of a Leukemia Inhibitory Factor-Independent Embryonic Stem Cell Line," Int. J. Biochem Cell Biol., 29:829 (1997)
	BH	Gendron, R., et al., "Induction of Embryonic Vasculogenesis by bFGF and LIF in Vitro and in Vivo," Developmental Biology, 177:332 (1996)

Examiner	Date Considered

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Form 1449 (modified)	DEC 13 2001	Docket: 091/009C	U.S.S.N. To Be Assigned
Information Disclosure Statement By Applicant		Title: Techniques for Growth and Differentiation of Human Pluripotent Stem Cells Inventors: Carpenter, M.K., et al.	
(Use Several Sheets if Necessary)		Filing Date: 23 October 2001	Group: To Be Assigned

Examiner Initial	Ref.	Author, Title, Date, Source
	BI	GibcoBrl Life Technologies Catalogue and Ref. Guide, pages 1-2 through 1-4, 1-94 and 1-95 (1993)
	BJ	Itoh, M., et al., "Automated Filtration-Based High-Throughput Plasmid Preparation System," Genome Res., 9:463 (1999)
	BK	Itskovitz-Eldor, J., et al., "Differentiation of Human Embryonic Stem Cells into Embryoid Bodies Comprising the Three Embryonic Germ Layers," Mol. Med., 6:88 (2000)
	BL	Keller, G., "In Vitro Differentiation of Embryonic Stem Cells," Cell Biology, 7:862 (1995)
	BM	Kelly, DL., et al., "DNA Microarray Analyses of Genes Regulated During the Differentiation of Embryonic Stem Cells," Mol Reprod. Dev., 56:113 (2000)
	BN	Ko, M., et al., "Large-scale cDNA analysis Reveals Phased Gene Expression Patterns During Preimplantation Mouse Development," Development, 127:1737 (2000)
	BO	Koshimizu, U., et al., "Functional Requirement of gp130-mediated Signaling for Growth and Survival of Mouse Primordial Germ Cells In Vitro and Derivation of Embryonic Germ (EG) Cells," Development, 122:1235 (1996)
	BP	Koshimizu, U., et al., "Rapid Communication Retinoic Acid Is a Potent Growth Activator of Mouse Primordial Germ Cells in Vitro," Developmental Biology, 168:683 (1995)
	BQ	Life Technologies, Inc., "SuperScript II; Rnase H Reverse Transcriptase," Product Brochure; pages 1-4
	BR	Matsuda, T., et al., "STAT3 Activation is Sufficient to Maintain an Undifferentiated State of Mouse Embryonic Stem Cells," EMBO J., 18:4261 (1999)
	BS	Matsui, Y., et al., "Derivation of Pluripotential Embryonic Stem Cells from Murine Primordial Germ Cells in Culture," Cell, 70:841 (1992)
	BT	Nichols, J., et al., "Establishment of Germ-line-Competent Embryonic Stem (ES) Cells Using Differentiation Inhibiting Activity," Development, 110:1341 (1990)
	BU	Nichols, J., et al., "Derivation of Germline Competent Embryonic Stem Cells with a Combination of Interleukin-6 and Soluble Interleukin-6 Receptor," Experimental Cell Research, 215:237 (1994)
	BV	O'Shea, K., "Embryonic Stem Cell Models of Development," New Anat., 257:32 (1999)
	BW	Pease, S., et al., "Isolation of Embryonic Stem (ES) Cells in Media Supplemented with Recombinant Leukemia Inhibitory Factor (LIF)," Developmental Biology, 141:344 (1990)
	BX	Pera, M., "Human Pluripotent Stem Cells: a Progress Report," Curr Opin Genet Dev, 11:595 (2001)
	BY	Pedersen, R., "Studies of In Vitro Differentiation with Embryonic Stem Cells," Reprod. Fertil. Dev., 6:543 (1994)
	BZ	Pedersen, R., "Embryonic Stem Cell for Medicine," Scientif. Am., 280:68 (1999)
	CA	Rathjen, J., et al., "Formation of a Primitive Ectoderm Like Cell Population, EPL Cells, from ES Cells in Response to Biologically Derived Factors," J. of Cell Sci., 112:601 (1999)
	CB	Rehman, N., et al., "Development of IVM-IVF Produced 8-Cell Bovine Embryos in Simple, Serum-Free Media After Conditioning or Co-Culture With Buffalo Rat Liver Cells," Mol. Repro. Dev, 38:251 (1994)
	CC	Reubinoff, B., et al., "Embryonic Stem Cell Lines From Human Blastocysts: Somatic Differentiation In Vitro," Nat. Biotechnology, 18:399 (2000)
	CD	Robertson, E., "Derivation and Maintenance of Embryonic Stem Cell Cultures," Methods in Mol. Bio., 75:173 (1997)
	CE	Rose, T., et al., "Oncostatin M (OSM) Inhibits the Differentiation of Pluripotent Embryonic Stem Cells In Vitro," Cytokine, 6:48 (1994)

Examiner	Date Considered

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Form 1449 (modified) Information Disclosure Statement By Applicant (Use Several Sheets if Necessary)	<div style="text-align: center;"> </div> Docket: 091/009C Title: Techniques for Growth and Differentiation of Human Pluripotent Stem Cells Inventors: Carpenter, M.K., et al. Filing Date: 23 October 2001 U.S.S.N. To Be Assigned Group: To Be Assigned
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Examiner Initial	Ref.	Author, Title, Date, Source
	CF	Shamblott, M., et al., "Human Embryonic Germ Cell Derivatives Express a Broad Range of Developmentally Distinct Markers and Proliferate Extensively in Vitro," PNAS, 98: 118 (2001)
	CG	Shamblott, M., et al., "Derivation of Pluripotent Stem Cells from Cultured Human Primordial Germ Cells," Proc. Natl. Acad. Sci. USA, 95:13726 (1998)
	CH	Smith, A., et al., "Inhibition of Pluripotential Embryonic Stem Cell Differentiation by Purified Polypeptides," Nature, 336:668 (1998)
	CI	Smith, A., et al., "Buffalo Rat Liver Cells Produce a Diffusible Activity Which Inhibits the Differentiation of Murine Embryonal Carcinoma and Embryonic Stem Cells," Dev. Biol., 121:1 (1987)
	CJ	Sigma, Product Information for Laminins for Cell Culture
	CK	Takahashi, N., et al., "Toward a Whole cDNA Catalog: Construction of an Equalized cDNA library from Mouse Embryos," Genomics, 23:202 (1994)
	CL	Thomson, J., et al., "Embryonic Stem Cell Lines Derived from Human Blastocysts," Science, 282:145 (1998)
	CM	Thomson, J., et al., "Neural Differentiation of Rhesus Embryonic Stem Cells," APMIS, 106:149 (1998)
	CN	Thomson, J., et al., "Isolation of a Primate Embryonic Stem Cell Line," Proc. Natl. Acad. Sci. USA, 92:7844 (1995)
	CO	Thomson, J., et al., "Primate Embryonic Stem Cells," Current Topics in Developmental Biology, 38:133 (1998)
	CP	Vassilieva, S., et al., "Establishment of SSEA-1- and Oct-4-Expressing Rat Embryonic Stem-like Cell Lines and Effects of Cytokines of the IL-6 Family on Clonal Growth," Exper. Cell Research, 258:361 (2000)
	CQ	Worrall, D., et al., "A Carrot Leucine-Rich-Repeat Protein That Inhibits Ice Recrystallization," Science, 282:115 (1998)
	CR	Wenk, J., et al., "Glycolipids of Germ Cell Tumors: Extended Globo-Series Glycolipids are a Hallmark of Human Embryonal Carcinoma Cells," Int. J. Cancer, 58:108 (1994)
	CS	Williams, R., et al., "Myeloid Leukaemia Inhibitory Factor Maintains the Developmental Potential of Embryonic Stem Cells," Nature, 336:684 (1988)
	CT	Woltjen, K., et al., "Retro-recombination Screening of a Mouse Embryonic Stem Cell Genomic Library," Nucleic Acids Research, 28:e41 (2000)
	CU	Xiong, J., et al., "Large-Scale Screening for Developmental Genes in Embryonic Stem Cells and Embryoid Bodies Using Retroviral Entrapment Vectors," Dev. Dynamics, 212:181 (1998)
	CV	Zandstra, P., et al., "Leukemia Inhibitory Factor (LIF) Concentration Modulates Embryonic Stem Cell Self-Renewal and Differentiation Independently of Proliferation," Biotechnol. Bioeng., 69:607 (2000)

Examiner	Date Considered

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 PTO-1449 — Page 5